



# *Congratulations!*

## *Components Receiving Highest Scores FY 2004*

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### **First Highest Score**

*Department of Air Force  
Office of the Secretary of Defense*

### **Second Highest Score**

*Defense Commissary Agency \**  
*National Security Agency*  
*U. S. Special Operations Command \**

### **Third Highest Score**

*Defense Intelligence Agency*  
*Joint Staff*  
*Missile Defense Agency*  
*Pentagon Force Protection Agency*

### **Fourth Highest Score**

*Defense Advanced Research*  
*Projects Agency*  
*U. S. Southern Command*  
*U. S. Strategic Command*

**\* Most Improved**



# Scorecard Results for FY 2004

Agency	Timel y	Forma t	Progra m Executi on	Trainin g	Materi al Weakn ess Reporti ng Activity	FY 2004 Total Score	FY 2003 Total Score
Department of Air Force	Green	Blue	Blue	Blue	Blue	Green	Green
Office of Secretary of Defense (Principal Staff & DoD Field Activities)	Green	Green	Green	Blue	White	Green	Green
Defense Commissary Agency	Green	Blue	Blue	Blue	Green	Green	Amber
National Security Agency	Green	Blue	Blue	Blue	Green	Green	Amber



# Scorecard Results for FY 2004 (Cont)

Agency	Timel y	Forma t	Progra m Executi on	Traini ng	Materia l Weakne ss Reporti ng Activity	FY 2004 Total Score	FY 2003 Total Score
Joint Staff	Green	Blue	Green	Blue	Green	Green	Amber
Missile Defense Agency	Green	Blue	Blue	Green	Green	Green	Amber
Pentagon Force Protection Agency	Green	Blue	Blue	Green	Green	Green	N/A
Defense Advanced Research Projects Agency	Green	Blue	Green	Green	Green	Green	Green
U. S. Southern						Green	Green



# Scorecard Results for FY 2004 (Cont)

Agency	Timely	Format	Program Execution	Training	Material Weakness Reporting Activity	FY 2004 Total Score	FY 2003 Total Score
National Reconnaissance Office	Green	Blue	Green	Green	Amber	Green	Green
Defense Contract Audit Agency	Green	Green	Green	Green	Amber	Green	Green
Defense Information Systems Agency	Green	Blue	Green	Blue	Red	Green	Green
Department of Navy	Green	Blue	Green	Blue	Red	Green	Green
National Defense University	Green	Amber	Green	Green	Green	Green	4/4
U.S. Air Force	Green	Green	Green	Green	Amber	Green	Green



# Scorecard Results for FY 2004 (Cont)

Agency	Timel y	Forma t	Progra m Executi on	Traini ng	Materi al Weakn ess Reporti ng Activity	FY 2004 Total Score	FY 2003 Total Score
Defense Logistics Agency	Green	Green	Green	Blue	Red	Green	Green
Defense Finance And Accounting Service	Green	Green	Green	Green	Red	Amber	Green
Defense Security Cooperation Agency	Red	Green	Green	Green	Green	Amber	Amber
Defense Threat Reduction Agency	Green	Green	Green	Green	Red	Amber	Amber
Office of the Secretary of Defense, Inspector General	Green	Green	Green	Red	Green	Amber	Amber



# Scorecard Results for FY 2004 (Cont)

Agency	Timel y	Form at	Progra m Executi on	Trainin g	Materi al Weakn ess Reporti ng Activity	FY 2004 Total  Scor e	FY 2003 Total Scor e
Defense Contract Management Agency	Green	Amber	Amber	Amber	Amber	Amb er	Green
Department of Army	Red	Blue	Green	Blue	Red	Amb er	Green
U. S. Joint Forces Command	Red	Green	Green	Amber	Amber	Amb er	Amb er
U. S. Pacific Command	Green	Amber	Amber	Red	Green	Amb er	Amb er
Defense Security Service	Red	Green	Green	Red	Green	Amb er	Amb er
U. S. Central							Amb



# Statement of Assurance Scorecard

## Why?

- *Achieve consistent superior performance Defense-wide*
- *Indication of what's important to management*
- *How well each component is doing*
- *A benchmark with other components*
- *How the Department is doing overall*
- *Recognition of top achievers -- those hitting the mark*

If you don't know where the mark is, how will you ever hit it?





# *DoD Component Statement of Assurance Scorecard Five Scorecard Categories*

- **Timeliness**
- **Format**
  - **Accurate, Complete, Easy to Read**
  - **Compliant with Instructions, Directives, Annual Guidance or Memoranda**
- **Evidence of Component-wide Program Execution**
- **Evidence of Component-wide Training**
- **Material Weakness Reporting:**
  - **Full disclosure**
  - **Prompt resolution of reported weaknesses**
    - » **Delinquent Weaknesses UNACCEPTABLE**





# Score Comparisons

DoD Agencies				Combatant Commands			
	FY 2003	FY 2004	Change		FY 2003	FY 2004	Change
Red	0%	0%	0%	Red	11%	22%	11%
Amber	42%	32%	-10%	Amber	22%	33%	11%
Green	58%	68%	10%	Green	67%	44%	-22%
Services				All DoD Components			
	FY 2003	FY 2004	Change		FY 2003	FY 2004	Change
Red	0%	0%	0%	Red	3%	6%	3%
Amber	0%	33%	33%	Amber	45%	32%	-13%



# *Some FY 2004 Scorecard Statistics*

## ● **Timeliness -**

- 88% received on time in FY 2004 compared to only 48% in FY 2003.
- In FY 2004, the latest Statement of Assurance (SOA) was 12 days late compared to 30 days late in FY 2003.

## ● **Format -**

- One SOA returned for revision in FY 2004, compared to six in FY 2003.
- All SOAs correctly addressed to Secretary of Defense compared to two incorrectly addressed in FY 2003.
- All SOAs appropriately signed by Head or Principal Deputy.
- SOAs must clearly state reasonable assurance over all assessable units under Head's chain of command. Two SOAs were unclearly written.
- In FY 2004, 13 of 34 SOAs (38%) were scored BLUE compared to 3 of 31 or (10%) in FY 2003.



# *Some FY 2004 Statistics (continued)*

## ● **Program Execution -**

Rule to Remember -- BLUE score cannot be obtained if the Component scored RED in Material Weakness Reporting Activity category.

- Eight (24%) scored BLUE in FY 2004 compared to three (10%) in FY 2003. Examples of initiatives taken to enhance program execution:
  - » Corporate Board and Oversight Forums.
  - » Risk assessments.
  - » Metrics.
- Zero scored RED in FY 2004 compared to one in FY 2003.

## ● **Training -**

- Eleven BLUE in FY 2004 versus eight in FY 2003. Some initiatives described to improve training are:
  - » MCP Websites / Videos.
  - » Extensive horizontal and vertical training.
  - » Training conferences.
- Three RED in FY 2004 versus four in FY 2003.



# Some FY 2004 Statistics (continued)

## • Material Weakness Reporting -

New this FY 2004 as announced in mid-year memorandum, one or more delinquent material weaknesses results in RED score.

- Nine RED in FY 2004 versus three in FY 2003.
  - » 6 of 9 - due to one or more delinquent weaknesses unresolved.
  - » 3 of 9 -- inadequate evidence that assessments were robust enough to identify deficiencies even if not reported as material.
- One WHITE score. Activity corrected 100% of material weaknesses.
- Zero PURPLE, but one BLUE due to 5 of 6 material weaknesses corrected as projected or (83%).
- Six AMBER versus eleven in FY 2003. Improvement largely due to better descriptions of the assessments (TAB A) which show deficiencies found that do not warrant reporting to a higher level and the actions being taken to resolve them.



# *Changes to Scorecard Criteria for FY 2005*

- Adding BLUE (+3) score for Timeliness – (Reporting 7 days in advance)
- More descriptive score criteria (Example):
  - FORMAT --
    - » Best in Category -- Exceptional in all aspects (**Accurate, complete, easy to read and represents a good model.**)
- Raising the bar for the material weakness possible scores (some examples):
  - GREEN – Must have at least 70% or better material weaknesses resolved as projected.
  - AMBER – Must have at least 50% or better material weaknesses resolved as projected.
- More lenient criteria:
  - RED – One or more delinquent material weakness (first identified in FY 2000 or before, has missed the target more than **twice**, and the revised date is three years past the original projection)



# Scorecard Criteria for FY 2004



# *Statement of Assurance*

## *~ Timely ~*

### *FY 2004 Possible Scores*

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#### **Green**

+ 2 pts

- Received on due date of October 1, 2004 or within 2 calendar days

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#### **Amber**

+1 pt

- Received over 2 days past due date, but no more than  
5 calendar days after due date

---

#### **Red**

-1 pt

- Received over 5 calendar days past due date
- 

Pts = points received or lost



# *Statement of Assurance*

## *~ Format ~*

### *FY 2004 Possible Scores*

---

#### **Blue**

+ 3 pts

- Best in Category -- Exceptional in all aspects

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#### **Green**

+ 2 pts

- No revisions required and not necessary to ask for explanation from Component

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#### **Amber**

+1 pt

- Returned for correction or requested Component to clarify an aspect of the statement intent

- 
- Extensive changes required

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#### **Red**

-1 pt

OR

- Incorrectly stated the opinion, i.e. provided an unqualified statement that should have been qualified
-





# *Statement of Assurance*

## *~ Program Execution ~*

### *FY 2004 Possible Scores*

---

#### **Blue**

+ 3 pts

- Best in Category – Component or Components report at least one innovative measure to enhance agency-wide program execution

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#### **Green**

+ 2 pts

- Statement clearly indicates that MCP is executed at all levels

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#### **Amber**

+1 pt

- Statement has some evidence of program execution but limited

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#### **Red**

-1 pt

- No evidence of program execution in statement
-



# *Statement of Assurance*

## *~ Training ~*

### *FY 2004 Possible Scores*

#### **Blue**

+ 3 pts

- Best in Category -- Component or Components report at least one innovative measure taken to enhance training MCP Component wide

#### **Green**

+ 2 pts

- Evidence in write-up of MCP training agency wide

#### **Amber**

+1 pt

- Statement has some evidence of training but limited

#### **Red**

-1 pt

- No evidence of training in statement



# *Statement of Assurance*

## *~ Material Weakness Reporting Activity ~*

### *Scores for FY 2004*

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#### **White**

+5 pts

- 85% or more of weaknesses corrected on time in FY 2004 as targeted in FY 2003 Statement of Assurance. (There must be at least 2 weaknesses corrected.)  
OR
  - 60% or more are corrected on time and at least five weaknesses corrected in advance of target
- 

#### **Purple**

+4 pts

- 85 % or more of weaknesses corrected on time. (There is no qualification on the number that must be corrected.)  
OR
  - 70% or more are corrected on time and more than one weakness corrected in advance of target
- 

#### **Blue**

+3 pts

- 70% or more of weaknesses are corrected on time  
OR
  - 50 % or more are corrected on time and at least one weakness corrected in advance of target
-



# ~ *Material Weakness Reporting Activity* ~ *Possible Scores for FY 2004*

## **Green**

+ 2 pts

- 50 % or more are corrected on time  
OR
- If none due for correction in FY 2004, at least one new weakness reported or one weakness reported as corrected in last three years  
OR
- Statement indicates deficiencies found, but do not warrant reporting and describes actions to resolve
- Less than 50% corrected on time

OR

## **Amber**

+ 1 pt

- If none due for correction and no new or old weaknesses in last three years, the statement of assurance sufficiently addresses actions taken in considering reporting weaknesses
- No weaknesses reported as new in past three years

AND

- No weaknesses corrected in past three fiscal years

AND

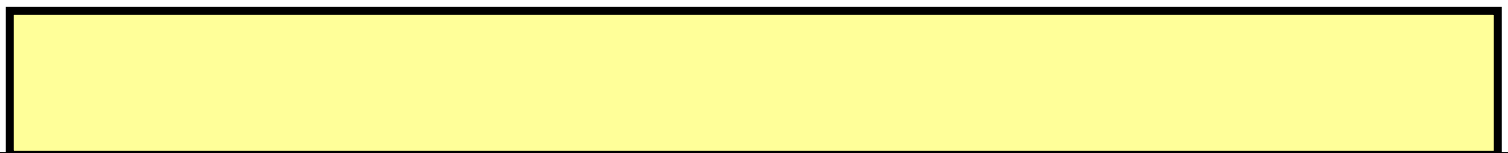
- Insufficient evidence of actions taken to report weaknesses

OR

## **Red**

-1 pt

At least one delinquent material weakness (first identified in FY 1999 or before, has missed the target more than once, and the revised date is three years past the original projection)



Pts = points received or lost



# Scorecard Criteria for FY 2005



# *Statement of Assurance*

## *~ Timely Category ~*

### *FY 2005 Possible Scores*

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#### **Blue**

+ 3 pts

- Received 7 calendar days in advance of the due date

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#### **Green**

+ 2 pts

- Received on due date of September 1, 2005 or within 2 calendar days

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#### **Amber**

+1 pt

- Received over 2 days past due date, but no more than 5 calendar days after due date

---

#### **Red**

-1 pt

- Received over 5 calendar days past due date



# *Statement of Assurance*

## *~ Format Category ~*

### *FY 2005 Possible Scores*

---

#### **Blue**

+ 3 pts

- Best in Category -- Exceptional in all aspects (Accurate, complete, easy to read and represents a good model)
- 

#### **Green**

+ 2 pts

- No revisions required and not necessary to ask for explanation from Component
- 

#### **Amber**

+1 pt

- Returned for correction or requested Component to clarify an aspect of the statement intent
- 

#### **Red**

-1 pt

- Extensive changes required  
OR
  - Incorrectly stated the opinion, i.e. provided an unqualified statement that should have been qualified
-



# *Statement of Assurance*

## *~ Program Execution Category ~*

### *FY 2005 Possible Scores*

#### **Blue**

+ 3 pts

- Best in Category – Component reports at least one innovative measure to enhance Component-wide program execution, but excludes any Component that scored a red in the material weakness category

#### **Green**

+ 2 pts

- Statement clearly indicates that MCP is executed at all levels (Component -wide program execution)

#### **Amber**

+1 pt

- Statement has some evidence of Component-wide program execution but limited

#### **Red**

-1 pt

- No evidence of Component-wide program execution in statement





# *Statement of Assurance*

## *~ Training Category ~*

### *FY 2005 Possible Scores*

#### **Blue**

+ 3 pts

- Best in Category -- Component reports at least one innovative measure taken to enhance training MCP Component-wide

#### **Green**

+ 2 pts

- Evidence in write-up of Component-wide MCP training

#### **Amber**

+1 pt

- Statement has some evidence of Component-wide training but limited

#### **Red**

-1 pt

- No evidence of Component-wide training in statement



# Statement of Assurance

## ~ Material Weakness Reporting Activity

### Category ~

### FY 2005 Scores

---

#### White

+5 pts

- 85% or more of weaknesses corrected on time in FY 2005 as targeted in FY 2004 Statement of Assurance. (There must be at least 2 weaknesses corrected.)  
OR
  - 70% or more are corrected on time and at least two weaknesses are corrected in advance of target
- 

#### Purple

+4 pts

- 80% or more of weaknesses corrected on time. (There is no qualification on the number that must be corrected.)  
OR
  - 60% or more are corrected on time and more than one weakness corrected in advance of target
- 

#### Blue

+3 pts

- 75% or more of weaknesses are corrected on time. (There is no qualification on the number that must be corrected.)  
OR
  - 50% or more are corrected on time and at least one weakness corrected  
in advance of target
- 

Pts = points received or lost



# Statement of Assurance ~ Material Weakness Reporting Activity Category ~

## ***FY 2005 Scores (continued)***

### **Green**

**+ 2 pts**

- 70% or more are corrected on time  
OR
- If none due for correction in FY 2005, at least one new weakness reported or one weakness reported as corrected in last three years  
OR
- Statement indicates at least two deficiencies found, that do not warrant reporting and describes actions to resolve (Must include corrective actions)
- 50% or more corrected on time

### **Amber**

**+1 pt**

- If none due for correction and no new or old weaknesses in last three years, the statement of assurance indicates one deficiency and actions to resolve
- No weaknesses reported as new in past three years

AND

- No weaknesses corrected in past three fiscal years

AND

### **Red**

**-1 pt**

- No deficiencies with corrective actions discussed.  
OR
- One or more delinquent material weakness (first identified in FY 2000 or before, has missed the target more than twice, and the revised date is three years past the original projection)